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PTO/SB/05 (03-01)
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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.	2001P07453US
First Inventor	Christopher J. O'Brien
Title	Data Mining System, Method and Apparatus for Industrial Applications
Express Mail Label No.	EL608305375US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. [X] Fee Transmittal Form (e.g., PTO/SB/17) *(Submit an original and a duplicate for fee processing)*
2. [] Applicant claims small entity status. See 37 CFR 1.27.
3. [X] Specification [*Total Pages* 17] *(preferred arrangement set forth below)*
 - Descriptive title of the invention
 - Cross Reference to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings *(if filed)*
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. [X] Drawing(s) *(35 U.S.C. 113)* [*Total Sheets* 4]
5. Oath or Declaration [*Total Pages*]
 - a. [] Newly executed (original or copy)
 - b. [] Copy from a prior application (37 CFR 1.63 (d)) *(for continuation/divisional with Box 18 completed)*
 - i. [] DELETION OF INVENTOR(S) Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. [] Application Data Sheet. See 37 CFR 1.76
7. [] CD-ROM or CD-R in duplicate, large table or Computer Program *(Appendix)*
8. Nucleotide and/or Amino Acid Sequence Submission *(if applicable, all necessary)*
 - a. [] Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. [] CD-ROM or CD-R (2 copies); or
 - ii. [] paper
 - c. [] Statements verifying identity of above copies

ADDRESS TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231

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ACCOMPANYING APPLICATION PARTS

9. [] Assignment Papers (cover sheet & document(s))
10. [] 37 CFR 3.73(b) Statement *(when there is an assignee)* [] Power of Attorney
11. [] English Translation Document *(if applicable)*
12. [X] Information Disclosure Statement (IDS)/PTO-1449 [X] Copies of IDS Citations
13. [] Preliminary Amendment
14. [X] Return Receipt Postcard (MPEP 503) *(Should be specifically itemized)*
15. [] Certified Copy of Priority Document(s) *(if foreign priority is claimed)*
16. [] Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. [X] Other: Transmittal (W&C)

18. If a CONTINUING APPLICATION, *check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:*

[] Continuation [] Divisional [] Continuation-in-part (CIP) of prior application No.: _____ / _____

Prior application information Examiner _____ *Group Art Unit* _____

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS

[] *Customer Number or Bar Code Label* (Insert Customer No. or Attach bar code label here) or [X] *Correspondence address below*

Name	Siemens Corporation, Intellectual Property Department				
Address	Attn: Elsa Keller 186 Wood Avenue South				
City	Iselin	*State*	New Jersey	*Zip Code*	08830
Country	USA	*Telephone*	732-321-3100	*Fax*	

Name (Print/Type)	Scott T. Weingaertner	*Registration No. (Attorney/Agent)*	37,756
Signature	Scott T. Weingaertner	*Date*	02/06/2002

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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EXPRESS MAIL LABEL NO.: EL608305375US

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FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT ($) 908.00

Complete if Known	
Application Number	To Be Assigned
Filing Date	February 6, 2002
First Named Inventor	Christopher J. O'Brien
Examiner Name	To Be Assigned
Group Art Unit	To Be Assigned
Attorney Docket No.	2001P07453US

J1002 U.S. PTO
10/068611
02/06/02

METHOD OF PAYMENT *(check all that apply)*

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit Account Number: 23-1703

Deposit Account Name: White & Case

The Commissioner is authorized to: *(check all that apply)*

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☒ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, **except for the filing fee** to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
101	740	201	370	Utility filing fee	740
106	330	206	165	Design filing fee	
107	510	207	255	Plant filing fee	
108	740	208	370	Reissue filing fee	
114	160	214	80	Provisional filing fee	

SUBTOTAL (1) ($) 740.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

		Extra Claims		Fee from below		Fee Paid
Total Claims	9	-20** =	–	X	–	= –
Independent Claims	5	- 3** =	2	X	84	= 168
Multiple Dependent						=

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description
103	18	203	9	Claims in excess of 20
102	84	202	42	Independent claims in excess of 3
104	280	204	140	Multiple dependent claim, if not paid
109	84	209	42	** Reissue independent claims over original patent
110	18	210	9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) ($) 168.00

***or number previously paid, if greater; For Reissues, see above*

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code	Large Entity Fee ($)	Small Entity Fee Code	Small Entity Fee ($)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for *ex parte* reexamination	
112	920*	112	920*	Requesting publication of SIR *prior to* Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR *after* Examiner action	
115	110	215	55	*Extension for reply within first month*	
116	400	216	200	Extension for reply within second month	
117	920	217	460	Extension for reply within third month	
118	1,440	218	720	*Extension for reply within fourth month*	
128	1,960	228	980	Extension for reply within fifth month	
119	320	219	160	Notice of Appeal	
120	320	220	160	Filing a brief in support of an appeal	
121	280	221	140	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	*Petition to revive - unavoidable*	
141	1,280	241	640	Petition to revive - unintentional	
142	1,280	242	640	Utility issue fee (or reissue)	
143	460	243	230	Design issue fee	
144	620	244	310	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Processing fee under 37 CFR 1.17(q)	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
149	740	249	370	For each additional invention to be examined (37 CFR § 1.129(b))	
179	740	279	370	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	

Other fee (specify) _____

*Reduced by Basic Filing Fee Paid **SUBTOTAL (3)** ($)

SUBMITTED BY				Complete *(if applicable)*	
Name (Print/Type)	Scott T. Weingaertner	Registration No. (Attorney/Agent)	37,756	Telephone	212-819-8404
Signature				Date	Feb. 6, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

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Attorney Docket No. 2001P07453US

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I hereby certify that this paper is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 C.F.R. §1.10 in an envelope addressed to:
BOX PATENT APPLICATION
Assistant Commissioner for Patents and Trademarks
Washington, D.C. 20231, on February 6, 2002.

Michael Ramos
(Type or print name of person mailing paper or fee)

Michael Ramos
(Signature of person mailing paper or fee)

10005865 v1 - 02/06/02

Applicant: Christopher J. O'Brien

Title: DATA MINING SYSTEM, METHOD AND APPARATUS FOR INDUSTRIAL APPLICATIONS

This application claims the benefit, for purposes of priority under 35 U.S.C. §119(e), of U.S. Provisional Patent Application Number 60/266,640, filed February 6, 2001.

The following are enclosed:

1. PTO/SB/05 – Utility Patent Application Transmittal

2. PTO/SB/17 – Fee Transmittal

3. Information Disclosure Statement; Form PTO-1449, and two references;

4. Specification - 13 pages;
 Claims - 3 pages;
 Abstract - 1 page;
 Drawings - 4 pages.

5. Return Postcard.

Dated: February 6, 2002

Respectfully submitted,

Scott T. Weingaertner
Reg. No. 37,756
Attorney for Applicant

Customer Number 007470
Direct Dial: (212) 819-8404

Correspondence Address:

Intellectual Property Department
Siemens Corporation
186 Wood Avenue South
Iselin, New Jersey 08830
U.S.A.
Attention: Elsa Keller
(732) – 321-3100

Enclosures